

9-27-04

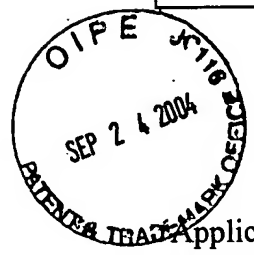
IFlu

SEP 24 2004

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Elaine C. Stracker
 Elaine C. Stracker



PATENT
 Attorney's Docket No.: 00020.08CON

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Hodges et al.
 Serial No.: 10/696,959
 Filed: 10/30/2003
 Title: DELIVERY OF AEROSOLS CONTAINING SMALL PARTICLES
 THROUGH AN INHALATION ROUTE

Mail Stop Amendment
 Commissioner for Patents
 P.O. Box 1450
 Alexandria, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT

Dear Sir:

In accordance with their continuing duty of disclosure under 37 CFR §§ 1.97, 1.98 and 1.56, Applicants hereby submit for consideration in the above-identified application the enclosed references. The Information Disclosure statement submitted herewith is being filed after the period specified in 37 CFR 1.97(b), however, the Information Disclosure Statement is filed before the mailing date of a Final Action under 37 CFR 1.113, a Notice of Allowance under 37 CFR 1.311, or an Action that otherwise closes prosecution in the application, and is accompanied by the fee set forth in 37 CFR 1.97 (e) of \$180.00. The Applicants authorize the Commissioner to charge the cost of this fee to Deposit Account No. 502731.


For the convenience of the Examiner, the references are listed on a PTO Form 1449 (attached) and copies thereof are enclosed. Applicants would appreciate the Examiner initialing and returning the Form PTO-1449, indicating that the information has been considered and made of record herein.

~~09/27/2004 HBLANCO 00000011 502731 10696959~~
~~01 FC:1806 180.00 DA~~

In the unlikely event that the transmittal letter is separated from this document and the Patent Office determines that an extension and/or other relief is required, Applicants petition for any required relief including any extensions of time and authorizes the Commissioner to charge the cost of such petitions and/or other fees due in connection with the filing of this document to Deposit Account No. 502731. Please direct all correspondence to the following customer number.

Respectfully submitted,

Date: SEP. 24 2004



Elaine C. Stracker J.D., Ph.D., Reg. 43,166

Alexza Molecular Delivery Corporation
1001 East Meadow Circle
Palo Alto, CA 94303
TEL: (650) 687-3905
FAX: (650) 687-3999



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FEE TRANSMITTAL for FY 2003

Effective 01/01/2003. Patent fees are subject to annual revision.

☒ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$) \$180.00

Complete if Known

Application Number	10/696,959
Filing Date	10/30/2003
First Named Inventor	Craig C. Hodges
Examiner Name	M. Haghighatian
Art Unit	1616
Attorney Docket No.	00020.08CON

METHOD OF PAYMENT (check all that apply)

☐ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None

☒ Deposit Account:

Deposit
Account
Number

502731

Deposit
Account
Name

Alexza Molecular Delivery

The Director is authorized to: (check all that apply)

☒ Charge fee(s) indicated below ☒ Credit any overpayments

☒ Charge any additional fee(s) during the pendency of this application

☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

FEE CALCULATION

1. BASIC FILING FEE

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1001	750	2001	375	Utility filing fee	
1002	330	2002	165	Design filing	
1003	520	2003	260	Plant filing fee	
1004	750	2004	375	Reissue filing	
1005	160	2005	80	Provisional filing fee	
SUBTOTAL (1)				(\$)	

2. EXTRA CLAIM FEES FOR UTILITY AND

Extra Claims		Fee from below	Fee Paid
Total Claims	-20** =		
Independent Claims	-3** =		
Multiple Dependent			

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1202	18	2202	9	Claims in excess of 20	
1201	84	2201	42	Independent claims in excess of 3	
1203	280	2203	140	Multiple dependent claim, if not paid	
1204	84	2204	42	** Reissue independent claims over original patent	
1205	18	2205	9	** Reissue claims in excess of 20 over original patent	

180.00 DA SUBTOTAL (2) (\$) \$0.00

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1051	130	2051	65	Surcharge - late filing fee or oath	
1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet	
1053	130	1053	130	Non - English specification	
1812	2,520	1812	2,520	For filing a request for ex parte reexamination	
1804	920*	1804	920*	Requesting publication of SIR prior to Examiner action	
1805	1,840*	1805	1,840*	Requesting publication of SIR after Examiner action	
1251	110	2251	55	Extension for reply within first month	
1252	410	2252	205	Extension for reply within second month	
1253	930	2253	465	Extension for reply within third month	
1254	1,450	2254	725	Extension for reply within fourth month	
1255	1,970	2255	985	Extension for reply within fifth month	
1401	320	2401	160	Notice of Appeal	
1402	320	2402	160	Filing a brief in support of an appeal	
1403	280	2403	140	Request for oral hearing	
1451	1,510	1451	1,510	Petition to institute a public use proceeding	
1452	110	2452	55	Petition to revive - unavoidable	
1453	1,300	2453	650	Petition to revive - unintentional	
1501	1,300	2501	650	Utility issue fee (or reissue)	
1502	470	2502	235	Design issue fee	
1503	630	2503	315	Plant issue fee	
1460	130	1460	130	Petitions to the Commissioner	
1807	50	1807	50	Processing fee under 37 CFR § 1.17(q)	
1806	180	1806	180	Submission of Information Disclosure Statement	180.00
8021	40	8021	40	Recording each patent assignment per property (times number of properties)	
1809	750	2809	375	Filing a submission after final rejection (37 CFR § 1.129(a))	
1810	750	2810	375	For each additional invention to be examined (37 CFR § 1.129(b))	
1801	750	2801	375	Request for Continued Examination (RCE)	
1802	900	1802	900	Request for expedited examination of a design application	

Other fee (specify) _____

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$) \$180.00

SUBMITTED BY

Name (Print/Type)	Elaine C. Stracker	Registration No. (Attorney/Agent)	433,166	Telephone	650-687-3905
Signature		Date	SEP. 24 2004		

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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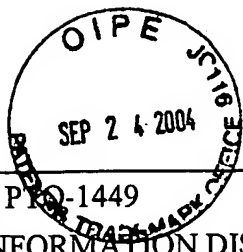
TRANSMITTAL FORM <i>(to be used for all correspondence after initial filing)</i>	Application Number	10/696,959	
	Filing Date	10/30/2003	
	First Named Inventor	Hodges	
	Art Unit	1616	
	Examiner Name	M. Haghighatian	
Total Number of Pages in This Submission		Attorney Docket Number	00020.08CON

ENCLOSURES (check all that apply)		
<input checked="" type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Drawing(s)	<input type="checkbox"/> After Allowance communication to Group
<input type="checkbox"/> Fee Attached	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Amendment / Reply	<input type="checkbox"/> Petition	<input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> After Final	<input type="checkbox"/> Petition to Convert a Provisional Application	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence	<input type="checkbox"/> Status Letter
<input type="checkbox"/> Extension of Time Request	<input type="checkbox"/> Terminal Disclaimer	<input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Request for Refund	
<input checked="" type="checkbox"/> Information Disclosure Statement	<input type="checkbox"/> CD, Number of CD(s) _____	
<input type="checkbox"/> Certified Copy of Priority Document(s)	Remarks	
<input type="checkbox"/> Response to Missing Parts/ Incomplete Application	PTO/SB/17 Fee Transmittal (2 copies 1 page each) Info. Disc. Statement (2 pp.) Form 1449 (3 copies, 8 pages each) Copy of 186 references Return postcard	
<input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
Firm or Individual name	ALEXZA MDC, 1001 East Meadow Circle, Palo Alto, CA 94303 Elaine C Stracker, Ph.D., J.D. Telephone (650)-687-3905 Customer Number 37485
Signature	
Date	SEP. 24 2004

CERTIFICATE OF TRANSMISSION/MAILING			
I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the			
Typed or printed name	Elaine C. Stracker		
Signature		Date	SEP. 24 2004

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Form PTO-1449

INFORMATION DISCLOSURE CITATION
IN AN APPLICATION

(Use several sheets if necessary)

Docket Number: 00020.08CON

Application Number: 10/696,959

Applicant: Craig C. HODGES, et al.

Filing Date: 10/30/2003

Group Art Unit: 1616

U.S. PATENT DOCUMENTS

Examiner Initials	Ref. No.	Date	Document No.	Name	Class	Subclass	Filing Date If Appropriate
	1.	02/02/1971	3,560,607	Hartley et al.			
	2.	09/15/1987	4,693,868	Katsuda et al.			
	3.	11/24/1987	4,708,151	Shelar			
	4.	12/22/1987	4,714,082	Banerjee et al.			
	5.	04/05/1988	4,735,217	Gerth et al.			
	6.	04/12/1988	4,756,318	Clearman et al.			
	7.	06/28/1988	4,753,758	Miller			
	8.	09/20/1988	4,771,795	White et al.			
	9.	12/27/1988	4,793,365	Sensabaugh, Jr. et al.			
	10.	08/08/1989	4,854,331	Banerjee et al.			
	11.	08/22/1989	4,858,630	Banerjee et al.			
	12.	11/21/1989	4,881,556	Clearman, et al.			
	13.	01/23/1990	4,895,719	Radhakrishnun et al.			
	14.	05/29/1990	4,928,714	Shannon			
	15.	07/17/1990	4,941,483	Ridings et al.			
	16.	08/14/1990	4,947,874	Brooks et al.			
	17.	08/14/1990	4,947,875	Brooks et al.			
	18.	02/05/1991	4,989,619	Clearman et al.			
	19.	05/28/1991	5,019,122	Clearman et al.			
	20.	06/04/1991	5,020,548	Farrier et al.			
	21.	07/01/1991	5,027,836	Shannon et al.			
	22.	07/23/1991	5,033,483	Clearman et al.			
	23.	08/27/1991	5,042,509	Banerjee et al.			
	24.	09/17/1991	5,049,389	Radhakrishnun			
	25.	10/29/1991	5,060,666	Clearman et al.			
	26.	11/26/1991	5,067,499	Banerjee et al.			

EXAMINER:

DATE CONSIDERED:

EXAMINER: Initial if citation considered, whether or not the citation conforms with MPEP 609. Draw a line through the citation if not in conformance and not considered. Include a copy of this form with next communication to applicant.

Form PTO-1449

INFORMATION DISCLOSURE CITATION
IN AN APPLICATION

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Docket Number: 00020.08CON

Application Number: 10/696,959

Applicant: Craig C. HODGES, et al.

Filing Date: 10/30/2003

Group Art Unit: 1616

27.	12/31/1991	5,076,292	Sensabaugh, Jr. et al.			
28.	04/21/1992	5,105,831	Banerjee et al.			
29.	06/09/1992	5,119,834	Shannon et al.			
30.	07/28/1992	5,133,368	Neumann et al.			
31.	08/11/1992	5,137,034	Perfetti et al.			
32.	10/20/1992	5,156,170	Clearman et al.			
33.	07/06/1993	5,224,498	Deevi et al.			
34.	10/05/1993	5,249,586	Morgan et al.			
35.	02/14/1995	5,388,574	Ingebrethsen			
36.	02/14/1995	5,388,574	Ingebrethsen			
37.	10/10/1995	5,456,247	Schilling, et al.			
38.	08/13/1996	5,544,646	Lloyd et al.			
39.	12/09/1997	5,694,919	Rubsamen et al.			
40.	04/07/1998	5,735,263	Rubsamen et al.			
41.	04/14/1998	5,738,865	Baichwal et al.			
42.	06/29/1999	5,915,378	Lloyd et al.			
43.	08/10/1999	5,934,272	Lloyd et al.			
44.	09/28/1999	5,957,124	Lloyd et al.			
45.	10/05/1999	5,960,792	Lloyd et al.			
46.	11/30/1999	5,993,805	Sutton et al.			
47.	03/28/2000	6,041,777	Faithfull et al.			
48.	04/18/2000	6,051,566	Bianco			
49.	08/01/2000	6,095,153	Kessler et al.			
50.	08/15/2000	6,102,036	Slutsky et al.			
51.	06/05/2001	6,241,969	Saidi et al.			
52.	07/03/2001	6,255,334	Sands			
53.	07/24/2001	6,264,922	Wood et al.			
54.	01/14/2003	6,506,762	Horvath et al.			
55.	02/04/2003	6,514,482	Bartus et al.			
56.	09/06/2001	US 2001/0020147	Staniforth et al.			
57.	03/28/2002	US 2002/0037828	Wilson et al.			

EXAMINER:

DATE CONSIDERED:

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INFORMATION DISCLOSURE CITATION IN AN APPLICATION

(Use several sheets if necessary)

Docket Number: 00020.08CON

Application Number: 10/696,959

Applicant: Craig C. HODGES, et al.

Filing Date: 10/30/2003

Group Art Unit: 1616

	58.	05/16/2002	US 2002/0058009	Bartus et al.			
	59.	07/04/2002	US 2002/0086852	Cantor			
	60.	08/22/2002	US 2002/0112723	Schuster et al.			
	61.	11/28/2002	US 2002/0176841	Barker et al.			
	62.	01/02/2003	US 2003/0004142	Prior et al.			

RELATED ALEXZA MOLECULAR DELIVERY CORPORATION PATENT DOCUMENTS

	63.	08/04/2003	10/633,876	Hale et al.			
	64.	08/04/2003	10/633,877	Hale et al.			
	65.	12/30/2003	10/749,537	Rabinowitz et al.			
	66.	12/30/2003	10/749,539	Rabinowitz et al.			
	67.	01/27/2004	10/766,149	Rabinowitz et al.			
	68.	01/27/2004	10/766,279	Rabinowitz et al.			
	69.	01/27/2004	10/766,566	Rabinowitz et al.			
	70.	01/27/2004	10/766,574	Rabinowitz et al.			
	71.	01/27/2004	10/766,634	Rabinowitz et al.			
	72.	01/27/2004	10/766,647	Rabinowitz et al.			
	73.	01/28/2004	10/767,115	Rabinowitz et al.			
	74.	01/29/2004	10/768,205	Rabinowitz et al.			
	75.	01/29/2004	10/768,220	Rabinowitz et al.			
	76.	01/29/2004	10/768,281	Rabinowitz et al.			
	77.	01/29/2004	10/768,293	Rabinowitz et al.			
	78.	01/30/2004	10/769,046	Rabinowitz et al.			
	79.	01/30/2004	10/769,051	Rabinowitz et al.			
	80.	01/29/2004	10/769,157	Rabinowitz et al.			
	81.	01/29/2004	10/769,197	Rabinowitz et al.			
	82.	02/09/2004	10/775,583	Rabinowitz et al.			
	83.	02/09/2004	10/775,586	Rabinowitz et al.			
	84.	03/03/2004	10/791,915	Hale et al.			
	85.	03/03/2004	10/792,001	Rabinowitz et al.			
	86.	03/03/2004	10/792,012	Hale et al.			
	87.	03/03/2004	10/792,013	Rabinowitz et al.			

EXAMINER:

DATE CONSIDERED:

EXAMINER: Initial if citation considered, whether or not the citation conforms with MPEP 609. Draw a line through the citation if not in conformance and not considered. Include a copy of this form with next communication to applicant.

Form PTO-1449 INFORMATION DISCLOSURE CITATION IN AN APPLICATION <i>(Use several sheets if necessary)</i>				Docket Number: 00020.08CON		Application Number: 10/696,959	
				Applicant: Craig C. HODGES, et al.			
				Filing Date: 10/30/2003		Group Art Unit: 1616	

	88.	03/03/2004	10/792,096	Hale et al.			
	89.	03/03/2004	10/792,239	Hale et al.			
	90.	03/31/2004	10/813,721	Rabinowitz et al.			
	91.	03/31/2004	10/813,722	Rabinowitz et al.			
	92.	03/31/2004	10/814,690	Rabinowitz et al.			
	93.	03/31/2004	10/814,998	Rabinowitz et al.			
	94.	04/01/2004	10/815,527	Rabinowitz et al.			
	95.	04/01/2004	10/816,407	Rabinowitz et al.			
	96.	04/01/2004	10/816,492	Rabinowitz et al.			
	97.	04/01/2004	10/816,567	Rabinowitz et al.			
	98.	08/04/2004	10/912,462	Hale et al.			
	99.	01/23/2003	US 2003/0015196	Hodges et al.			
	100.	04/03/2003	US 2003/0062042	Wensley et al.			
	101.	11/13/2003	US 2003/0209240	Hale et al.			
	102.	01/02/2003	US 2003/0000518	Rabinowitz et al.			
	103.	01/09/2003	US 2003/0005924	Rabinowitz et al.			
	104.	01/09/2003	US 2003/0005925	Hale et al.			
	105.	01/09/2003	US 2003/0007933	Rabinowitz et al.			
	106.	01/09/2003	US 2003/0007934	Rabinowitz et al.			
	107.	01/16/2003	US 2003/0012737	Rabinowitz et al.			
	108.	01/16/2003	US 2003/0012738	Rabinowitz et al.			
	109.	1/16/2003	US 2003/0012740	Rabinowitz et al.			
	110.	01/23/2003	US 2003/0015189	Rabinowitz et al.			
	111.	01/23/2003	US 2003/0015190	Rabinowitz et al.			
	112.	01/23/2003	US 2003/0017114	Rabinowitz et al.			
	113.	01/23/2003	US 2003/0017115	Rabinowitz et al.			
	114.	01/23/2003	US 2003/0017116	Rabinowitz et al.			
	115.	01/23/2003	US 2003/0017117	Rabinowitz et al.			
	116.	01/23/2003	US 2003/0017118	Rabinowitz et al.			
	117.	01/23/2003	US 2003/0017119	Rabinowitz et al.			
	118.	01/23/2003	US 2003/0017120	Rabinowitz et al.			

EXAMINER:	DATE CONSIDERED:
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EXAMINER: Initial if citation considered, whether or not the citation conforms with MPEP 609. Draw a line through the citation if not in conformance and not considered. Include a copy of this form with next communication to applicant.

Form PTO-1449 INFORMATION DISCLOSURE CITATION IN AN APPLICATION <i>(Use several sheets if necessary)</i>	Docket Number: 00020.08CON		Application Number: 10/696,959	
	Applicant: Craig C. HODGES, et al.			
	Filing Date: 10/30/2003		Group Art Unit: 1616	

	119.	1/30/2003	US 2003/0021753	Rabinowitz et al.			
	120.	01/30/2003	US 2003/0021754	Rabinowitz et al.			
	121.	01/30/2003	US 2003/0021755	Hale et al.			
	122.	02/20/2003	US 2003/0035776	Hodges et al.			
	123.	05/15/2003	US 2003/0091511	Rabinowitz et al.			
	124.	05/27/2004	US 2004/010148	Hale et al.			
	125.	07/31/2003	US 2003/0138382	Rabinowitz			
	126.	11/06/2003	US 2003/0206869	Rabinowitz et al.			
	127.	01/15/2004	US 2004/0009128	Rabinowitz et al.			
	128.	05/27/2004	US 2004/0099269	Hale et al.			
	129.	06/03/2004	US 2004/0105818	Hale et al.			
	130.	06/03/2004	US 2004/0105819	Hale et al.			
	131.	07/01/2004	US 2004/0126326	Rabinowitz et al.			
	132.	07/01/2004	US 2004/0126327	Rabinowitz et al.			
	133.	07/01/2004	US 2004/0126328	Rabinowitz et al.			
	134.	07/01/2004	US 2004/0126329	Rabinowitz et al.			
	135.	07/01/2004	US 2004/0127481	Rabinowitz et al.			
	136.	07/01/2004	US 2004/0127490	Rabinowitz et al.			
	137.	08/12/2004	US 2004/0156788	Rabinowitz et al.			
	138.	08/12/2004	US 2004/0156789	Rabinowitz et al.			
	139.	8/12/2004	US 2004/0156790	Rabinowitz et al.			

FOREIGN PATENT DOCUMENTS

Examiner Initials	Ref. No.	Date	Document No.	Country	Class	Subclass	Translation YES NO
	140.	03/14/1990	EP 0 358 114	Europe			
	141.	08/29/2001	EP 0 606 486	Europe			
	142.	03/07/2001	EP 1 080 720	Europe			
	143.	06/13/1991	WO 91/07947	WIPO			

EXAMINER:	DATE CONSIDERED:
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EXAMINER: Initial if citation considered, whether or not the citation conforms with MPEP 609. Draw a line through the citation if not in conformance and not considered. Include a copy of this form with next communication to applicant.

Form PTO-1449

INFORMATION DISCLOSURE CITATION IN AN APPLICATION

(Use several sheets if necessary)

Docket Number: 00020.08CON

Application Number: 10/696,959

Applicant: Craig C. HODGES, et al.

Filing Date: 10/30/2003

Group Art Unit: 1616

	144.	05/11/1994	WO 94/09842	WIPO			
	145.	04/11/1996	WO 96/09846	WIPO			
	146.	05/09/1996	WO 96/13161	WIPO			
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EXAMINER: Initial if citation considered, whether or not the citation conforms with MPEP 609. Draw a line through the citation if not in conformance and not considered. Include a copy of this form with next communication to applicant.

Form PTO-1449

INFORMATION DISCLOSURE CITATION IN AN APPLICATION

(Use several sheets if necessary)

Docket Number: 00020.08CON

Application Number: 10/696,959

Applicant: Craig C. HODGES, et al.

Filing Date: 10/30/2003

Group Art Unit: 1616

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		Applicant: Craig C. HODGES, et al.	
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